

2-14-02

A



PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U S Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Application Number

First Inventor

Feng-Jing Chen

Title

Pharmaceutical Formulations  
and Systems for Improved  
Absorption and Multistage  
Release of Active Agents

Attorney Docket Number

6200-0004.20

PRO

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- 1. ■ Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*
- 2. ■ Applicant claims small entity status.  
See 37 CFR 1.27.
- 3. ■ Specification [Total Pages 149]  
*(preferred arrangement set forth below)*
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (*if filed*)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- 4. ■ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
- 5. ■ Oath or Declaration [Total Pages 4 unsigned]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63(d))  
*(for continuation/divisional with Box 17 completed)*
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
- 6.  Application Data Sheet. See 37 CFR 1.76

Commissioner for Patents  
ADDRESS TO: Box Patent Application  
Washington, DC 2023102/11/02  
02/07/02  
S-16  
PRO

- 7.  CD-ROM or CD-R in duplicate, large table  
Computer Program (Appendix)
- 8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable)*
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- 9.  Assignment Papers (cover sheet & document(s))
- 10.  37 CFR 3.73(b) Statement  Power of Attorney  
*(when there is an assignee)*
- 11.  English Translation Document (*if applicable*)
- 12. ■ Information Disclosure  Copies of IDS  
Statement (IDS)/PTO-1449 Citations
- 13.  Preliminary Amendment
- 14. ■ Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*
- 15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*
- 16.  Other: \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP) of prior application No.: U.S. Serial No. 09/898,553 filed July 20, 2001, which is a continuation of U.S. Serial No. 09/258,654 filed Feb. 26, 1999 which issued as U.S. Patent No. 6,294,192 which issued on Sept. 25, 2001. This is also a CIP of U.S. Serial No. 09/877,541 filed June 8, 2001, which is a CIP of U.S. Serial No. 09/345,615 filed June 30, 1999 which issued as U.S. Patent No. 6,297,985 on July 31, 2001. This application is also a CIP of U.S. Serial No. 09/800,593 filed March 6, 2001, which is a divisional of U.S. Serial No. 09/447,690 filed Nov. 23, 1999 and issued as U.S. Patent No. 6,248,363 on June 19, 2001.

Prior application information: Examiner: L. Channavajala Group / Art Unit: 1615  
 This application claims priority to Provisional Application Serial No. \*, filed \*.

**For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**

#### 18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number of Bar Code Label	23980			or <input type="checkbox"/> Correspondence address below  (Insert Customer No. or Attach bar code label here)	
Name	Dianne E. Reed				
Address	REED & ASSOCIATES 800 Menlo Avenue, Suite 210				
City	Menlo Park	State	CA	Zip Code	94025
Country	USA	Telephone	(650) 330-0900	Fax	(650) 330-0980
Name (Print/Type)	Dianne E. Reed	Registration No. (Attorney/Agent)	31,292		
Signature				Date	2/11/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commission for Patents, Box Patent Application, Washington, DC 20231.

#### CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to "Commissioner for Patents, Box Patent Application, Washington, DC 20231."

"Express Mail" Mailing Label No.	EL 910 311 333 US	Date of Deposit	February 11, 2002
Name of Person Mailing Paper or Fee(Print/Type)	Will Sayo	Date	2/11/02
Signature			

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to the Commissioner for Patents, Washington, DC 20231.

(Modified) PTO/SB/05 (12/97)

"Express Mail" Mailing Label No.: EL 910 311 333 US

Date of Deposit: February 11, 2002

Type/Printed Name of Person Mailing Paper or Fee: Will Sayo

Signature of Person Mailing Paper or Fee: [Signature]

				Complete if Known				
				Application Number				
				Filing Date		Filed Herewith		
				First Named Inventor		Feng-Jing Chen		
				Group Art Unit		Not Assigned Yet		
				Examiner Name		Not Assigned Yet		
<b>FEE TRANSMITTAL</b>				Attorney Docket Number		6200-0004.20		
<i>Note: Effective October 1, 1997. Patent fees are subject to annual revision.</i>								
<b>TOTAL AMOUNT OF PAYMENT</b>		(\$) <u>1653</u>						
<b>METHOD OF PAYMENT</b> (check one)				<b>FEE CALCULATION (continued)</b>				
<input checked="" type="checkbox"/> The commissioner is hereby authorized to charge any additional fees and credit any overpayments to: Deposit Account No.: Deposit Account Name: REED & ASSOCIATES				<b>3. ADDITIONAL FEES</b> Larg Entity Small Entity Fee Fee Fee Fee Code Code Code (\$) Fee Fee Fee Fee Code (\$)				
<input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance				105	130	205	65	Surcharge - late filing fee or oath
				127	50	227	25	Surcharge - late provisional filing fee or cover sheet
				139	130	139	130	Non-English specification
				147	2,520	147	2,520	For filing a request for reexamination
				112	920*	112	920*	Requesting publication of SIR prior to Examiner action
				113	1,840	113	1,840	Requesting publication of SIR after Examiner action
				115	110	215	55	Extension for reply within first month
				116	400	216	200	Extension for reply within second month
				117	920	217	460	Extension for reply within third month
				118	1,440	218	720	Extension for reply within fourth month
				128	1,960	228	980	Extension for reply within fifth month
				119	320	219	160	Notice of Appeal
				120	320	220	160	Filing a brief in support of an appeal
				121	280	221	140	Request for oral hearing
				138	1,510	138	1,510	Petition to institute a public use proceeding
				140	110	240	55	Petition to revive - unavoidable
				141	1,280	241	640	Petition to revive - unintentional
				142	1,280	242	640	Utility issue fee (or reissue)
				143	460	243	230	Design issue fee
				144	620	244	310	Plant issue fee
				122	130	122	130	Petitions to the Commissioner
				123	50	123	50	Petitions related to provisional applications
				126	240	126	180	Submissions of Information Disclosure Stmt
				581	40	581	40	Recording each patent assignment per property (times number of properties)
				146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))
				149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))
				Other fee (specify)				
				Other fee (specify)				
				*Reduced by Basic Filing Fee Paid				<b>SUBTOTAL (3)</b>
<b>SUBMITTED BY</b>								Complete (if applicable)
Typed or Printed Name		Dianne E. Reed				Reg. Number		31,292
Signature		<u>Dianne E. Reed</u>		Date	2/11/02		Deposit Account	